

FORM PTO 1390  
(REV 5-93)

US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER  
2006 0745A

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. §371

U.S. APPLICATION NO.  
(if known, see 37 CFR 1.5)  
10/579,630

International Application No.  
PCT/JP2004/017007

International Filing Date  
November 16, 2004

Priority Date Claimed  
November 17, 2003

**Title of Invention**

OPTICAL SIGNAL PROCESSING DEVICE FOR A/D CONVERTER INCLUDING OPTICAL ENCODERS WITH  
NONLINEAR LOOP MIRRORS (AS AMENDED)

Applicant(s) For DO/EO/US  
Ken-ichi KITAYAMA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. §371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. §371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. §371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. §371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)).
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19.
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)). **ATTACHMENT I**
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)).

**Items 11. to 14. below concern other document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☒ Other items or information:
  - Notification of Missing Requirements Under 35 U.S.C. 371. **ATTACHMENT J**

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

<b>U.S. APPLICATION NO.</b> (If known, see 37 CFR 1.3) 10/579,630		<b>INTERNATIONAL APPLICATION NO.</b> PCT/JP2004/017007		<b>ATTORNEY'S DOCKET NO.</b> 2006_0745A					
15. <input checked="" type="checkbox"/> The following fees are submitted  Basic National Stage Fee ..... \$300.00 National Stage Search Fee (International Search Report provided - 37 CFR 1.492(b)(2)) ..... \$400.00 National Stage Examination Fee ..... \$200.00 Specification/drawings in excess of 100 pages ( units of 50 x \$250.00) = ..... \$				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; text-align: center;">CALCULATIONS</td> <td style="width:50%; text-align: center;">PTO USE ONLY</td> </tr> <tr> <td colspan="2" style="height: 100px;"></td> </tr> </table>		CALCULATIONS	PTO USE ONLY		
CALCULATIONS	PTO USE ONLY								
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				\$					
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$130.00					
Claims	Number Filed	Number Extra	Rate						
Total Claims	- 20 =		X \$50.00	\$					
Independent Claims	- 3 =		X \$200.00	\$					
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$					
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$130.00					
<input type="checkbox"/> Small Entity Status is hereby asserted. Above fees are reduced by 1/2.				\$					
<b>SUBTOTAL =</b>				\$130.00					
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$					
<b>TOTAL NATIONAL FEE =</b>				\$					
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$					
<b>TOTAL FEES ENCLOSED =</b>				\$130.00					
				Amount to be refunded	\$				
				Amount to be charged	\$				
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$130.00</u> to cover the above fees is enclosed. A duplicate copy of this form is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 23-0975 in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23-0975</u> .									
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>									
19. CORRESPONDENCE ADDRESS   <div style="text-align: center; margin-top: 20px;"> <b>CUSTOMER NO.</b>  <span style="font-size: 1.5em;">000513</span> </div>			By: <div style="text-align: center; margin-top: 10px;"> <b>WENDEROTH, LIND &amp; PONACK, L.L.P.</b>          2033 "K" Street, N.W., Suite 800          Washington, D.C. 20006-1021          Phone: (202) 721-8200          Fax: (202) 721-8250       </div> <div style="text-align: center; margin-top: 10px;">         September 11, 2007       </div>						

09/13/2007 L1ANDGRA 00000036 10579630

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[CHECK NO. 82194]

[2006\_0745A]



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO. 10/579,630	FIRST NAMED APPLICANT Ken-ichi Kitayama	ATTY. DOCKET NO. 2006_0745A
 <b>WENDEROTH, LIND &amp; PONACK</b>		INTERNATIONAL APPLICATION NO. PCT/JP04/17007
		<table border="1"> <tr> <td>I.A. FILING DATE 11/16/2004</td> <td>PRIORITY DATE 11/17/2003</td> </tr> </table>
I.A. FILING DATE 11/16/2004	PRIORITY DATE 11/17/2003	

513  
 WENDEROTH, LIND & PONACK, L.L.P.  
 2033 K STREET N. W.  
 SUITE 800  
 WASHINGTON, DC 20006-1021

CONFIRMATION NO. 9178

371 FORMALITIES LETTER



\*OC000000025387389\*

Date Mailed: 08/16/2007

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 05/17/2006
- English Translation of the IA filed on 05/17/2006
- Copy of the International Search Report filed on 05/17/2006
- Preliminary Amendments filed on 05/17/2006
- Information Disclosure Statements filed on 05/17/2006
- Oath or Declaration filed on 05/17/2006
- Request for Immediate Examination filed on 05/17/2006
- U.S. Basic National Fees filed on 05/17/2006
- Priority Documents filed on 05/17/2006
- Specification filed on 05/17/2006
- Claims filed on 05/17/2006
- Abstracts filed on 05/17/2006
- Drawings filed on 05/17/2006

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath

ATTACHMENT J

or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$-370** for a Large Entity:

- **\$130** Surcharge.

(A previous payment of \$500 will be applied to the additional fees indicated above.)

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

MAMIE P PERSON

Telephone: (703) 308-9140 EXT 227

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/579,630	PCT/JP04/17007	2006_0745A